Compliance Verification Workshop
Out-Brief

September 2004

Our CVG Workshop Goals Were:

- Collect feedback on the Audit processes.
- Collect feedback on the CVG Materials.

Programmatic Audit and Review Process Discussion—General Comments

- **Develop separate process flows for new vs. existing programs**

- **Develop a layered approach to verification that takes advantage of existing center SMA processes and activities**

- **Emphasize SMA compliance verification (vs. Technical requirements)**

- **Utilize program/project definition as in 7120.5**

- **Acknowledged goal of doing audit process with the focus of supporting an FRR/CoFR decision**

- **Create best possible audit process without considering resource constraints**

- **Further define/clarify roles and responsibilities for the independent Core Team**
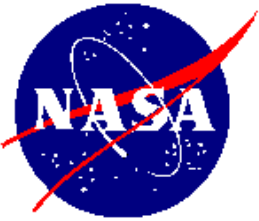
Programmatic Audit and Review Process Discussion—General Comments (continued)

- **Develop separate process for developing Agency audit capabilities, including selection, training, qualification, certification, re-certification, funding, and staffing of auditors**

- **Establish formal requirement for Assurance Process Map/Matrix—Center SMA develops, OSMA verifies**
  - **Positive feedback received on Assurance Process Map/Matrix**

- **Define acceptance criteria for establishing minimum level of OQE for verifying compliance**

- **Consider mapping current SMA processes side by side with proposed compliance verification processes**

- **Further clarify how independent SMA verification process interacts with the in-line mission assurance verification**
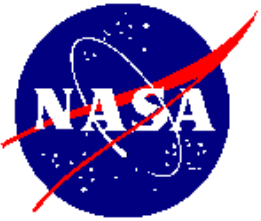
Programmatic Audit and Review Process Discussion

- **Issues that need further resolution**
  - ITA (Independent Technical Authority)
  - "The Deal"
  - Resources
    - Travel/per diem/day rate, training at centers in SMA fields of expertise
  - Presentation of Program Assessment and Review Processes to Mission Directorates and other parts of the Agency
    - Partner briefing with Chief Engineer's Office/IPAO
    - Meet with Exploration Systems SMA rep. to discuss process
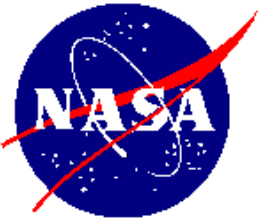 - SMA PA&R roles and responsibilities at the centers vs. HQ vs. Agency-wide

Programmatic Audit and Review Process Discussion

- **Please turn in your written comments here, or, if you need more time to write them down, please send them to:**

  – **Steve Wander**
    NASA Headquarters/QV
    300 E. Street, SW
    Washington, DC 20546

  – **swander@hq.nasa.gov**

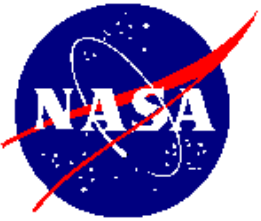# IFO Safety Audit Process Discussion

- Major Discussions
    - Need detailed IFO Audit Process instruction (In-Progress)
    - IFO Audit Process and Results need to be "Value Added"
    - Constructed so as to be able to provide an indication of "Health of the Safety Program"
    - Compliance Verification Safety Audits have to be endorsed Agency-Wide (Headquarters' Executive Council)

- "Parking Lot" Discussions
   - How to get "buy-in" from the Programs to accept the investment ($$) of this effort

PERMIT PARKING ONLY

VEHICLES WITHOUT VALID PARKING PERMIT WILL BE TOWED AT VEHICLE OWNER'S EXPENSE

IFO CVG Documents Reviewed

- Safety and Mission Assurance

- Safety Manual

- Safety and Health

- Facility Safety

- Fire Protection

- Pressure Vessels

- Underwater Facility Safety (Non-Open Water)

- Lifting Devices

- Aviation Safety

- GIDEP

- Metrology and Calibration

- Explosive Safety

- Continuity of Operations
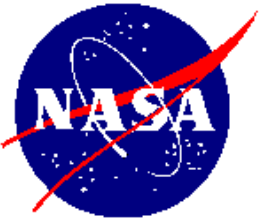
- Emergency Preparedness

- Mishap Investigations
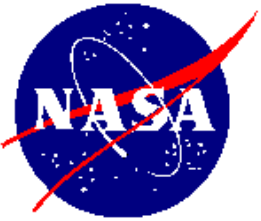
IFO General "Parking Lot" Comments

- ITA (Independent Technical Authority)
- In pursuit of "no kidding" safety requirements, might need to define (and narrow) the scope (similar to SUBSAFE box)
  - Public? Crew?
- Better define the Audience for each of the CVG Products
  - Make sure CVG material fits audience
  - May have more than 1 audience for a product (Brochure)
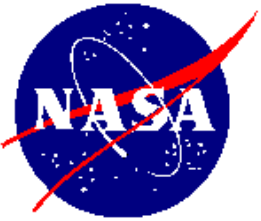 - Use of questions: general awareness or audit questions

IFO General "Parking Lot" Comments

- Full Cost Accounting vs Full Risks Acceptance

- Cost/Schedule vs Compliance of Requirements (Compliance to SUBSAFE requirements takes precedence over Cost/Schedule)

- Relationship between Inter-Center Aircraft Operations Panel (IAOP) Reviews and OSMA Aviation Safety Reviews

- Range Safety as part of IFO Safety Audit and not Programmatic

- May need to do similar "focus and clarity" on other documents (1280, 7120.4, 7120.5, 8070, etc.)

- Changes to New organization titles, etc. resulting from Agency "Transformation" to be updated for all CVG documents understood

CVG Document Comments

- Collected specific feedback on many of the IFO CVG products
  - Some excellent recommendations for improvements

- A couple of IFO CVG process areas received no input

- It was recognized that a couple IFO CVG process areas were to be revised in near future, so time was not spent on those
  - Underwater Facility Safety
  - Explosive Safety

- 27 Change Request Forms were filled out by hand and turned in during the last two days

- Received about 15 pages of comments from various organizations *before* the Workshop
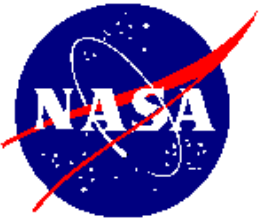
# IFO Safety Audit Program – Next Steps

- Complete the development of the IFO Safety Audit Process Instruction

- Extended IFO Safety CVG Comment Period
  - Due to OSMA/Perot by September 28, 2004
  - Email to Art Lee/OSMA or Tom Bacus/Perot

- All IFO Safety CVG Comments will be captured, reviewed and dispositioned by OSMA

- Results of all IFO Safety CVG Comments/Disposition will be provided to Headquarters' & Centers' Participants prior to Final Products
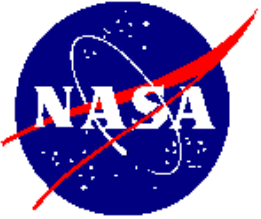
Thank you for your time and participation
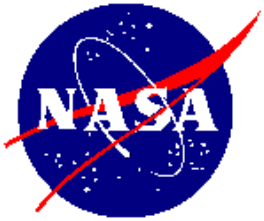
Summary

Dr. J. Steven Newman
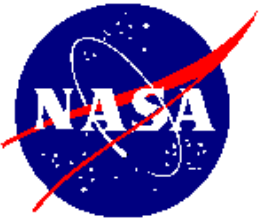
Environment of Change & Uncertainty

- RTF

- ITA – "The Deal"

- Presidents Vision

- CAIB

- Diaz Report

- BST Survey

- Full Cost Accounting

- 7120.5C Revision

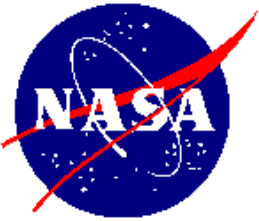- Requirements Instability

- Budget Constraints

Programmatic Review Process

- Excellent work by Steve Wander

- Outstanding discussion by the participants

- Moving out to implement draft process with selected <u>existing programs</u>

- More work to be completed on <u>new programs</u>
  - ITA – TBD
- Processes to be formalized (NPR)

IFO Safety Review Process

- Excellent work by Art Lee

- Outstanding discussion by the participants

- Processes to be formalized (NPR)

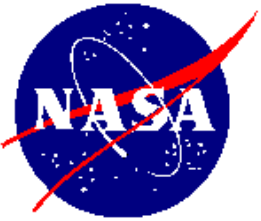- Moving out on an aggressive schedule for 2005

CVG Material

- Awareness and Informational Brochures and One-Page Briefs are on track

  - Refinement / revision in-work

- CVG Audit Abstracts will continue to be refined to support audit activity
  - More dialogue is required both within the OSMA office and with the Centers

Lunch Speakers Provide Good Context & Basis for Compliance Verification Discussions

- Mr. Al Ford provided an excellent overview of the Submarine Safety Program

- Mr. Tim Bassett provided outstanding insight into the Submarine Safety Program from the auditee perspective

- Excellent discussion and questions by all participants

Work to be Accomplished….

- Additional CVG feedback is solicited from all participants

- Review and Assessment Division will provide feedback on all Parking Lot items as Agency policy evolves

- Review and Assessment Division will document and address all comments received prior to and during the conference
  - Audit Processes
  - CVG Material
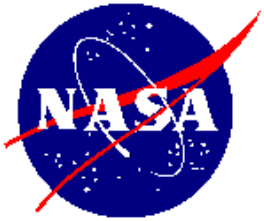
Thanks again for your participation

Travel Safely